SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL OMB Number: 3235-0287 Estimated average burden hours per response: 0.5

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person * <u>STROHM DAVID N</u>					2. Issuer Name and Ticker or Trading Symbol Oportun Financial Corp [OPRT]									ationship of I k all applicat Director		Person(s) to Issuer 10% Ov	vner
(Last)	(First)	(M	3. Date of Earliest Transaction (Month/Day/Year) 03/31/2021									Officer (give title below)			Other (below)	specify		
C/O OPORTUN FINANCIAL CORPORATION 2 CIRCLE STAR WAY					4. If Amendment, Date of Original Filed (Month/Day/Year)							6. Indi	6. Individual or Joint/Group Filing (Check Applicable Line)					
													X	X Form filed by One Reporting Person				
(Street)														Form file	ed by More	than O	ne Reportir	ig Person
SAN CARLOS CA 94070																		
(City)	(State)	(Zi	p)		_													
		Та	ble I - No	n-Der	ivative	Secu	irities Acq	uired,	Disp	osed of,	, or	Benefi	cially Ov	vned				
Date				(Month/Day/Year)		2A. Deemed Execution Date, if any (Month/Day/Year)			4. Securiti Disposed				Securities Beneficial Following	Beneficially Owned Following Reported		nership Direct (D) irect (I) 4)	7. Nature of Indirect Beneficial Ownership	
								Code	v	Amount		(A) or (D)	Price	 Transaction(s) (Instr. 3 and 4) 				(Instr. 4)
Common Stock 03/3					31/2021			A		755(1)	Α	\$ <mark>0</mark>	18,397			D	
Common Stock														271,	271,160		I	See footnote ⁽²⁾
							ties Acqui warrants, c							ed				
1. Title of Derivative Security (Instr. 3)	ative Conversion Date Execution Date		ate,	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of D) (Instr. 3, 4 and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)			Sec Deri			8. Price of Derivative Security (Instr. 5)	9. Numbe derivativ Securitie Beneficia Owned Followin Reported Transact (Instr. 4)	e s ally g	With States Stat	Beneficial Ownership (Instr. 4)	

Explanation of Responses:

1. The shares represent a fully vested restricted stock unit award. The Reporting Person has elected to defer delivery of the shares, pursuant to the Restricted Stock Unit Award Grant Notice (Non-Employee Director) and Restricted Stock Unit Award Agreement and the deferral election form, subject to compliance with the Internal Revenue Code Section 409A. The shares will be delivered in a lump sum on January 30 of the calendar year following the Reporting Person's separation of service from the Issuer.

Date

Exercisable

Expiration

Title

Date

2. The shares are held by Mapache Investments L.P. Mr. Strohm is the General Partner of Mapache Investments, L.P. and has voting and investment control over these shares.

(A)

(D)

Code

Remarks:

 /s/ Kathleen Layton (Attorney-in-Fact)
 04/01/2021

 ** Signature of Reporting Person
 Date

Number

of Shares

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

* If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.